

**ENVIRONMENTAL ENHANCEMENT AND MITIGATION
PROGRAM
2011-12 Grant Cycle**

GUIDELINES and APPLICATION

**DEADLINE: APPLICATION MUST BE RECEIVED BY
Monday, September 12, 2011**

**STATE OF CALIFORNIA
JULY 2011**

<http://www.resources.ca.gov/eem/>

<http://www.dot.ca.gov/hq/LocalPrograms/EEM/homepage.htm>



CALIFORNIA DEPARTMENT OF
TRANSPORTATION

August 1, 2011

Dear Prospective Environmental Enhancement and Mitigation Program Applicant:

I am writing this letter because of your interest in the Environmental Enhancement and Mitigation grant program and to share information about new policy that affects the grant application process for this and future years.

As Secretary for Natural Resources, I also serve as chair of the Ocean Protection Council and as a member of the Strategic Growth Council. These councils share a common goal to protect and conserve natural resources, and to work towards sustainability by investing in projects that improve air and water quality, promote public health, and encourage infill and compact development in our communities. This can be accomplished by coordinating efforts among state agencies, and by selecting projects through our various grant programs that demonstrate strong promise towards achieving these goals.

To that end, the Environmental Enhancement and Mitigation Program encourages projects that produce multiple benefits which reduce greenhouse gas emissions, reduce risks associated with climate change impacts, such as sea-level rise, and demonstrate collaboration with local, state, and community entities.

More information about these topics can be found on the **Energy and Climate Change** page of the Natural Resources Agency website: http://www.resources.ca.gov/energy_and_climate_change.html.

You can also contact the Environmental Enhancement and Mitigation Program at (916) 653-2812, or via email at eemcoordinator@resources.ca.gov.

Together, one project at a time, we can protect our resources for future generations and improve the overall health of California.

Sincerely,

John Laird
Secretary for Natural Resources

1416 Ninth Street, Suite 1311, Sacramento, CA 95814 Ph. 916.653.5656 Fax 916.653.8102 <http://resources.ca.gov>

Baldwin Hills Conservancy • California Coastal Commission • California Coastal Conservancy • California Conservation Corps • California Tahoe Conservancy
Coachella Valley Mountains Conservancy • Colorado River Board of California • Delta Protection Commission • Delta Stewardship Council • Department of Boating & Waterways • Department of Conservation
Department of Fish & Game • Department of Forestry & Fire Protection • Department of Parks & Recreation • Department of Resources Recycling and Recovery • Department of Water Resources
Energy Resources, Conservation & Development Commission • Native American Heritage Commission • Sacramento-San Joaquin Delta Conservancy • San Diego River Conservancy
San Francisco Bay Conservation & Development Commission • San Gabriel & Lower Los Angeles Rivers & Mountains Conservancy • San Joaquin River Conservancy
Santa Monica Mountains Conservancy • Sierra Nevada Conservancy • State Lands Commission • Wildlife Conservation Board



The California Natural Resources Agency and The California Department of Transportation (Caltrans) are pleased to announce the joint release of the Guidelines and Application for the Environmental Enhancement and Mitigation Program (EEMP) for the 2011/12 grant cycle, which began July 1, 2011.

Applications must be received by Monday, September 12, 2011 at the Natural Resources Agency, 1416 Ninth Street, Suite 1311, Sacramento CA, 95814, no later than 4 p.m.

Please note the shortened (45 Day) Application Period.

You may access the EEMP Guidelines and Application at <http://www.resources.ca.gov/eem/>. The Guidelines include information to assist you in preparing an application for funding. Please be sure to read the Guidelines and FAQs in their entirety for important information on project eligibility, evaluation criteria and submission requirements.

Two workshops are planned to provide assistance in preparing grant applications. New applicants are encouraged to attend. Please RSVP to reserve your space by calling (916) 653-2812 or by emailing eemcoordinator@resources.ca.gov.

Wednesday, August 17, 2011

City of Los Angeles

1:00 to 3:00

California Department of Transportation

Caltrans District 07 Offices,

100 South Main Street, 1st Floor, Rm 1.040B

Los Angeles, CA 90012

Tuesday, August 23, 2011

City of Sacramento

1:30 to 3:30

Sacramento Area Council of Governments

(SACOG) 3rd Floor Board Room

1415 L Street, Suite 300

Sacramento, CA 95814

Other key dates for the program are:

September 12, 2011

Applications due; Solicitation period closes

November 2011

Site visits by Technical Committee to selected projects **NEW!**

December 2011

Funding recommendations to Secretary for Natural Resources

The Natural Resources Agency will transmit its recommendations for funding to the California Transportation Commission (CTC) in early 2012. Applicants will be notified shortly thereafter. It is anticipated that the CTC will finalize its recommendations at the March 2012 meeting.

CONTACT INFORMATION

Questions regarding the EEMP Guidelines and application process should be directed to:

California Natural Resources Agency

Attn: EEMP Coordinator

1416 Ninth Street, Suite 1311

Sacramento, CA 95814

(916) 653-2812

eemcoordinator@resources.ca.gov

<http://www.resources.ca.gov/eem/>

Questions related to administering an EEMP grant project can be obtained from:

California Department of Transportation

Division of Local Assistance

Attn: EEM Program Coordinator

1120 N Street, Sacramento, CA 95814

(916) 653-6930

Brenda_Herron@dot.ca.gov

<http://www.dot.ca.gov/hq/LocalPrograms/EEM/homepage.htm>

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1. INTRODUCTION

1-1. Purpose and Authority

These procedures and criteria guide the evaluation and selection of projects under the Environmental Enhancement and Mitigation Program (EEMP). This program, as provided by Streets and Highways Code Section 164.56, authorizes the allocation of up to \$10 million each fiscal year for grants to mitigate the environmental impacts of modified or new public transportation facilities.

The Natural Resources Agency (Agency) prescribes procedures and criteria to evaluate grant proposals and submits a list of proposals recommended for funding to the California Transportation Commission (CTC). The CTC annually awards reimbursement grants to fund proposals from the Agency's list. The Department of Transportation (Caltrans) administers the Grant Agreement.

1-2. Eligible Applicants

Any State, local, federal or 501(c)(3) non-profit entity may apply for and receive grants. The agency or entity is not required to be a transportation or highway related organization, but must be able to demonstrate adequate charter or enabling authority to carry out the type of project proposed. Two or more entities may participate in a project with one designated as the lead agency.

1-3. Timeline

Applications for funding in the 2011-12 fiscal year (July 1, 2011 through June 30, 2012) must be **received** in the office by **4:00 p.m. Monday, September 12, 2011**.

Direct all inquiries, correspondence and grant Applications to:

Natural Resources Agency
Attn: EEMP Coordinator
1416 Ninth Street, Suite 1311
Sacramento, CA 95814
(916) 653-2812
eemcoordinator@resources.ca.gov

Applicants with projects recommended for funding must complete CEQA and submit final environmental clearance documents to the CTC no later than February 2012, in order to receive funding.

The schedule for proposed projects should provide for project completion by June 2015.

All required documents must be included with the application packet (one original, five copies and ONE CD containing digital copies of all documents). If necessary, board resolutions (required for local and non-profit agencies) may be submitted in draft form, as long as the signed resolutions are submitted separately within 30 days.

1-4. North/South Split

In accordance with the provisions of Section 187 and 188 of the Streets and Highways Code, an attempt will be made to allocate 40 percent of the total amount recommended to projects in northern counties and 60 percent of the total amount recommended to projects in southern counties. The southern counties are: San Luis Obispo, Kern, Mono, Tulare, Inyo, Santa Barbara, Ventura, Los Angeles, San Bernardino, Orange, Riverside, San Diego, and Imperial. For purposes of this north/south split, all other counties are considered northern counties.

1-5. Project Funding

Grants for individual projects are generally limited to \$350,000 each. Applicants must provide a Project Cost Estimate (See Appendix D) itemizing the *total* EEMP project cost, the portion to be funded by the EEMP grant, and the amount to be funded from other specified sources.

- A. The Agency may recommend awards exceeding \$350,000 for acquisition projects only, based on consideration of unique or unusual factors, including, but not limited to, maximum benefits in a one-time or limited opportunity, acquisition of resource lands of a considerable size, substantial leveraging, and/or projects with high statewide significance.
- B. No matching funds are required for the EEM Program. However, additional points will be given to applications which include other sources of funds for the proposed EEMP project.
- C. If the Applicant has obtained, or is planning to obtain, other sources of funds for the project, each source of funds must be shown in the Application Cost Estimate.
- D. If funding will be coming from other grants, especially State of California bond funds, the **Applicant must identify each source of funding separately on the Cost Estimate, and specify the amount and its proposed use.**
- E. Applicants must explicitly describe the status of these other grant funds in the Application narrative.(i.e., have been granted, applied for but awaiting granting agency's decision, to be applied for in the future, etc.)
- F. If the Applicant is receiving or expects to receive other grant funds for the EEMP Project directly from a State of California entity, the Applicant must provide the name

of the granting entity and a contact person's name, address, phone number, and e-mail address (if any).

Important! If the Application states the EEMP grant will fund a *percentage* of the Project, this percentage will be used later to calculate reimbursements to the grantee. Therefore it is important to realistically assess the scope of the project and the reliability of other funding sources before including them in the project Cost Estimate.

G. Acquisitions

Property must be acquired from a **willing seller** and in compliance with current laws governing relocation and acquisition of real property by public agencies¹ in an amount **not to exceed fair market value**, as approved by the state.

A Willing Seller letter is **required from each landowner** indicating they are a willing participant in the proposed real estate transaction. The letter should clearly identify the parcels to be purchased and state that "if grant funds are awarded, the seller is willing to enter into negotiations for sale of the property at a purchase price not to exceed fair market value."

Note that once funds are awarded and an agreement is signed with Caltrans, another property **cannot be substituted** for the property specified in the application. Therefore it is imperative you show the seller is negotiating in good faith, and that discussions have proceeded to a point of confidence.

2. PROJECT GUIDELINES

2-1. Eligible EEMP Projects

The Categories of EEMP projects eligible for funding are:

- A. **Highway Landscaping and Urban Forestry** projects are designed to offset vehicular emissions of carbon dioxide.
- B. **Resource Lands** projects provide for the acquisition or enhancement of resource lands to mitigate the loss of, or the detriment to, resource lands lying within or near the right-of-way acquired for transportation improvements.
- C. **Roadside Recreation** projects provide for the acquisition and/or development of roadside recreational opportunities.
- D. **NEW! Mitigation Projects Beyond the Scope of the Lead Agency** responsible for assessing the environmental impact of the proposed transportation improvement.

¹ Government Code, Chapter 16, Section 7260 et seq.,

2-2. Related Transportation Facility (RTF)

- A. Every EEMP project must be **directly** or **indirectly** related to the environmental impact of the modification of an existing Transportation Facility, or the environmental impact of the construction of a new Transportation Facility (hereafter referred to as Related Transportation Facility or RTF.)
- B. For purposes of this program, a Related Transportation Facility is defined as a public street, highway, mass transit guideway or their appurtenant features (e.g. park and ride facilities, high-occupancy vehicle lanes, transit stations, etc.)
- C. The Related Transportation Facility **cannot** be the same as the EEMP project.
- D. “Directly” and “indirectly” refer to:

The geographic location of the two projects:

Directly	Indirectly
The EEMP project is in the immediate vicinity of the RTF	The EEMP project is in the general area of the RTF

The type of benefit produced by the two projects:

Directly (example)	Indirectly (example)
The EEMP project replaces pine trees removed during construction of the RTF.	The EEMP project develops a scenic viewpoint to mitigate removal of pine trees during construction of the RTF.

- E. It is up to the Applicant to demonstrate the connection between the Related Transportation Project and the EEMP project.
 - Applicant must describe the RTF thoroughly and provide location maps or site plans.
 - Applicant must establish that there was environmental damage caused by the RTF. Applicant must include CEQA documents for the RTF as part of this Application package. These CEQA documents must show what *environmental damage* the RTF created, and what *mitigation* was required by law.
 - The more *directly* the EEMP project mitigates that environmental damage the higher the project will score on those criteria.
- F. The Related Transportation Facility must be a project
 - Where construction **began after** January 1, 1990; or

- Which is not yet under construction but is included in an adopted State Transportation Improvement Program (STIP) or in a locally adopted regional transportation improvement program **and** certified capital outlay program
- G. If the Related Transportation Facility is to be constructed in separate and distinct phases, each phase may be considered a separate project for purposes of this definition, provided that each phase creates an operable transportation improvement. Separate applications must be submitted for each project.
- H. Since only transportation facility projects that result in adverse environmental impacts qualify for purposes of this grant program, **not all transportation facility projects qualify as a Related Transportation Facility**. In general, those projects that are strictly replacement construction or which fall into the category of "maintenance" would not qualify.
- (For example, pavement resurfacing, repainting a bridge or a replanting project would not under most circumstances have an adverse environmental impact and would be considered maintenance. Additionally, a project such as constructing a sound barrier, which in itself mitigates an environmental impact, would not qualify.)
- I. In contrast, projects which involve a significant change in the capacity or configuration or physical lay-out of the facility may qualify.
- (For example, widening a highway, adding a High Occupancy Vehicle (HOV) lane, or constructing a frontage road probably would have an adverse environmental impact and might qualify.)
- J. Under circumstances where a transportation project received a Negative Declaration or Categorical Exemption and is not required to provide mitigation, the Applicant may be aware of cumulative impacts which had unforeseen adverse environmental impacts. In this case EEMP funding might be feasible if certain conditions apply. It is the responsibility of the Applicant to:
- Establish the cumulative impacts of the RFT; and
 - Demonstrate how the EEMP project would mitigate them.
- (For example, the EEMP project may propose to offset the cumulative impacts of a transportation project which had an unforeseen increase in urban traffic or unforeseen increase in accidents with animals in a wildlife corridor.)

2-3. Minimum Project Requirements

EEMP projects that fail to meet **all** of the following minimum requirements will not be considered:

- A. All EEMP projects must establish and demonstrate a direct or indirect relationship to the modification or construction of a Related Transportation Facility (RTF).
- B. The RTF must have a adverse impact on the environment.
- C. CEQA compliance must be completed for the RTF.
- D. Applicant must provide CEQA documents for the RTF **and** a Letter from the Lead Agency for the RTF as part of the Application Package. (See Appendix C.)
- E. CEQA documents should establish
 - what environmental damage the RTF created; and
 - what mitigation was required.
- F. The EEMP project must be different from the RTF
- G. The EEMP project must mitigate the environmental damage caused by the RTF.
- H. The EEMP mitigation, if in or near the right-of-way, must be compatible with and not interfere with the operation or safety of the transportation facilities.
- I. The EEMP mitigation must not limit currently planned or anticipated future improvements to the transportation facility.
- J. If the EEMP project is on State-owned right of way, applicable State design and construction standards and practices shall be used. If the EEMP project is off State-owned right of way, applicable design and construction standards and practices of the local government having jurisdiction over the project location shall apply. All necessary encroachment permits to access right of way will have to be obtained before construction may begin on a project.
- K. If a transportation facility is constructed in separate and distinct phases, each phase may be considered a separate project for purposes of this definition, provided that each phase provides an operable transportation improvement and meets the requirements of an RTF for this program.

2-4 Pitfalls

Some EEMP proposals may not pass the initial “minimum requirements” screening. Common deficiencies that cause applications to be disqualified from further consideration are:

- A. There is no specific Related Transportation Facility clearly Identified.

- B. The RTF is a planning project that, in and of itself, caused no adverse environmental impacts. It is *future* projects based on the plan that may cause the environmental impacts.
- C. If the RTF received a Categorical Exemption or a Negative Declaration it does not appear to have caused any adverse environmental impacts either directly or cumulatively.
- D. The RTF was **started** before 1990.
- E. CEQA has not been completed for the RTF and therefore required mitigation has yet to be established.
- F. There is no **specific** EEMP project identified, or the EEMP project lacks detail and specificity. (For example: the particular parcels to be acquired are not identified.)
- G. For Resource Lands Applications – The RTF does not specifically impact “Resource Lands.”

2-5 Competitiveness

Some EEMP proposals may not be competitive when compared to the pool of Applicants. Deficiencies may include:

- A. The Applicant does not clearly demonstrate a strong connection between environmental damage caused by the RTF and the proposed EEMP project.
- B. The Applicant does not demonstrate that the EEMP project will actually mitigate the environmental damage caused by the RTF.
- C. The Applicant is aware that the RTF *has* caused significant, adverse environmental impacts even though it received a Categorical Exemption or a Negative Declaration, but the Applicant fails to sufficiently make the case, explain the cumulative or late-occurring adverse impacts, or describe how the RTF caused them.
- D. CEQA documents for the RTF were not provided, or do not describe the mitigation required for the RTF.

3. GRANT SELECTION & IMPLEMENTATION PROCESS

3-1. The Application review and selection process is as follows:

- Applications are received by the Natural Resources Agency on September 12, 2011.
- Applications are reviewed for completeness.
- Applications are evaluated by the “Technical Review Committee” (Committee)

- Committee conducts site visits to selected projects.
 - Committee recommends projects for funding to the Secretary for Natural Resources
 - The Natural Resources Agency makes funding recommendations to the California Transportation Commission (CTC)
 - CTC gives preliminary approval to projects to be funded
 - CTC makes funding allocations and awards grants.
- 3-2. Caltrans executes and administers a contract called the Applicant-State Agreement (Agreement) for each approved grant. The Agreement is the instrument through which the Applicant receives reimbursement for expended project costs. After the CTC approves funding for an EEMP project, Caltrans sends the Applicant a proposed Agreement. If the proposed Agreement is not returned to Caltrans within 30 calendar days of issuance, Caltrans will contact the Applicant to determine if the project remains viable.

If Caltrans determines that an Agreement is unlikely to be executed by June 2012, Caltrans will retract the offered Agreement and will offer an Agreement to the next highest Applicant in priority.

- 3-3. California Environmental Quality Act (CEQA) clearance documents for EEMP projects are required by Caltrans prior to being awarded funding. Therefore, CEQA documents must be received by Caltrans no later than **February 2012** in order for the project to be considered at the CTC meeting.

EEMP Projects without environmental clearance documents will not be considered for funding.

- 3-4. Once the Agreement is in place the Applicant must submit its first invoice for reimbursement to Caltrans within **one year** from the date the Agreement is executed. If the Applicant is unable to submit an invoice within this time period, they must submit a Statement of Project Progress appropriate to the project that provides assurances that the project will be completed prior to June 2015. Solid assurance includes but is not limited to: project bid advertisement or firm advertisement schedule, entry into escrow for acquisitions, date project plans will be completed, award letter from other funding sources for the project, etc.

4. PROJECT PROPOSAL EVALUATION CRITERIA

4.1 Preparing your Grant Application Package

The Grant Application Package contains four sections:

- Application Form & Assurances
- One Page Summary
- Project Proposal Narrative
- Exhibits and Supporting Documents

NEW! All of the above must be submitted in both hardcopy and on CD.

(See Section 7 - "What to Submit" and Appendix A – Checklist for What to Submit)

- 4.2 The Project Proposal Narrative is the basis for the Committee's evaluation. It provides details on the RTF and EEMP Projects, and should demonstrate to the Committee how effectively the EEMP Project meets the goals of the EEM Program.

Each Applicant should answer questions for the General Criteria as well as for one of the Project Category Criteria. Projects will be evaluated on both General Criteria and Project Category Criteria by assigning values based on a point system. A maximum of 100 points may be assigned to any one project.

Each Applicant should respond to all questions in Sections 5 and 6 in the order listed and clearly label each question and answer.

- Limit the Project Proposal Narrative to 10 numbered pages.
- Use 8 ½" x 11" paper with 12-point easy-to-read font.
- The one-page summary and the supporting documents DO NOT count as part of the 10 pages.

- 4.3 Projects will be evaluated by the Committee using the following criteria and scoring allocation:

General Criteria (45 points)

- A. Mitigation and Enhancement (0-15 points)
- B. Statewide Project Goals (0-10 points)
- C. Local Cash Contributions (0-5 points)
- D. Project Readiness (0-15 points)

Project Category Criteria (55 points)

- A. Highway Landscaping and Urban Forestry (HLUF)
 - 1. Suitability (0-20 points)
 - 2. Sustainability (0-20 points)
 - 3. Cost Effectiveness (0-10 points)
 - 4. Other Benefits and Community Participation (0-5 points)

-OR-

- B. Resource Lands (RL)
 - 1. Resource Value of Lands Lost or Injured by RFT (0-10 points)
 - 2. Resource Value of EEMP Project Lands (0-20 points)
 - 3. Sustainability (0-10 points)
 - 4. Cost Effectiveness (0-10 points)
 - 5. Other Benefits and Community Participation (0-5 points)

-OR-

- C. Roadside Recreation (RR)
1. Value of Recreational Opportunities (0-10 points)
 2. Need for EEMP Project (0-20 points)
 3. Sustainability (0-10 points)
 4. Cost Effectiveness (0-10 points)
 5. Other Benefits and Community Participation (0-5 points)

-OR-

- D. Mitigation Projects Beyond the Scope of the Lead Agency (MP) **NEW!**
1. Suitability (0-5 points)
 2. Elements of Mitigation (0-20 points)
 3. Sustainability (0-15 points)
 4. Cost Effectiveness (0-10 points)
 5. Other Benefits and Community Participation (0-5 points)

5. GENERAL CRITERIA QUESTIONS

EEMP projects will be evaluated on the following criteria. Answer all the questions in this section in narrative form. Provide quantitative explanations in support of each criterion whenever possible.

- A. Mitigation and Enhancement (0-15 points)

EEMP Projects will be rated the highest that provide the greatest and most appropriate degree of mitigation (or enhancement to mitigation) for the environmental damage caused by the RTF.

1. In order to establish the effectiveness of the EEMP project, the Applicant must first establish what environmental damage was caused by the RTF.
 - a. Describe the RTF in detail.
 - b. What are the adverse environmental impacts of the RTF?
 - c. Provide a concise, but complete explanation of the **required mitigation** that was undertaken for the RTF;
 - d. What is the proximity of the EEMP project to the RTF?
2. Does the RTF impact a larger biological area, complex, or system (such as a wildlife corridor, watershed or regional greenbelt trail system)? If yes, explain.
3. Is the RTF in an area especially vulnerable to climate change? If so,
 - a. Explain the nature of the threat (fire, flood, heat, sea level rise, etc.)
 - b. How does the RTF accommodate the potential effects of this threat?

B. Statewide Project Goals (0-10 points)

California Natural Resources Agency grant programs assist state and local entities in developing more sustainable communities, and increase their adaptability to climate change² while improving the quality of life in those communities. Priority will be given to EEMP projects that demonstrate the following multiple benefits:

- Decrease in air and/or water pollution
- Reduce the consumption of natural resources and energy
- Increase the reliability of local water supplies
- Increase adaptability to climate change

Examples of project types that contribute to the reduction of greenhouse gas emissions and provide multiple benefits are:

- Enhancing the tree canopy, urban forest, local parks and open space
- Greening of existing public lands and structures, including schools
- Capturing, storing or infiltrating stormwater for ground water recharge using permeable surfaces, collection basins and barriers
- Installing bioswales, rain gardens etc. to mitigate stormwater runoff
- Roof gardens and other landscaping for heat island mitigation and energy conservation
- Alternative modes of transportation such as non-motorized trails that provide safe routes for recreation and travel between residences, workplaces, commercial centers, and schools
- Developing community demonstration or outdoor education gardens or orchards
- Securing conservation easements or fee title acquisitions to preserve in perpetuity land for agricultural uses, open space, wetlands, etc.

Through innovative methods and implementation strategies EEMP projects may improve both the project's sustainability and the local community's adaptability. Answer the following questions to demonstrate how your EEMP project addresses sustainability and climate change.

1. Is the EEMP project in an area especially vulnerable to climate change? If so,
 - a. Explain the nature of the threat (fire, flood, heat, sea level rise, etc.)
 - b. How does the EEMP project design ensure that it will NOT be impacted by the potential effects of this threat?
2. Does the EEMP project mitigate for climate change specifically by addressing any of the above multiple benefits? If so, describe the approach and project elements.

² Climate change impacts are expected in the areas of public health, biodiversity and habitat, ocean and coastal resources, water management, agriculture, forestry, transportation and energy. (California Climate Adaptation Strategy, 2009)

3. Does the EEMP project help to meet California's greenhouse gas (GHG) emission reduction targets consistent with the California Global Warming Solutions Act of 2006?³ How?
4. The CTC seeks to fund a diverse group of projects that serve the largest number of people in the widest area possible. Demonstrate relevance to larger planning processes (i.e., regional, city, county, State) by elaborating on the following:
 - a. Is the EEMP project part of a comprehensive, regional initiative to protect and enhance the State's natural heritage?
 - b. Has the EEMP project been identified as a statewide priority in plans, policies, or other pronouncements?
 - c. Does the EEMP project enhance or expand the State Park System?
 - d. Does the EEMP project reinforce, complement, or fill a deficiency or need in a larger area, complex, or system?⁴ If yes, explain.
 - e. Does the EEMP project meet other statewide resource priorities?

C. Local Cash Contributions / Other Sources of Funds (0-5 points)

Projects that contribute the greatest proportion of other sources of monetary funding to project development will be given priority.

1. Identify the sources and amount of funds already committed to the project and expected timing of the funds.
2. Identify sources and amount of funds yet to be secured and expected timing.
3. List specific dollar amounts for cash contributions on cost estimate (Appendix D)
4. Describe any in-kind services, volunteer labor, donated materials or technical expertise to be used. (Be sure to list their value separately from cash contributions on the cost estimate.)

To be evaluated and given appropriate credit, include the above information in the Project Cost Estimate as part of your Application Package. (Appendix D)

5. What is the source of funds for ongoing operations and maintenance?

If a project is ultimately approved for funding, the ratio of EEMP funds to other sources of funds specified in the project cost estimate will be used by Caltrans for the purposes of reimbursement.

IMPORTANT! If the Application states the EEMP grant will fund a *percentage* of the Project, this percentage will be used to calculate reimbursements to

³ Targets are: reduce GHG emissions to 1990 levels by 2020; and reduce GHG emissions to 80% below 1990 levels by 2050.

⁴ For example, an EEMP project that preserves wildlife habitat lands adjacent to other protected wildlife habitat lands may provide greater protection than a smaller, separate habitat lands project; or adding to an existing greenbelt or trail system may provide greater mitigation benefits than a smaller, separate urban forestry or recreation project.

the grantee. Therefore it is important to realistically assess the scope of the project and the reliability of other funding sources before including them in the project Cost Estimate.

D. Project Readiness (0-15 points)

EEMP funds are expected to be expended by June 2015. Therefore, projects that can be started and completed most readily will be given priority.

1. Has the RTF been completed?
2. If not, has it been started?
3. If not, have funds been specifically appropriated for it?
4. Has (CEQA) been completed for the RTF? (This is a requirement of the grant program.)
5. Has the required mitigation for the RTF been completed?
6. Are the EEMP project designs/specifications finished?
7. Is the EEMP project permitting complete?
8. Will the project require any permits or lengthy environmental clearance?
9. Does the Applicant have prior experience with this kind of project?
10. Has the Applicant received a prior EEMP grant?
If so, state project name(s), year(s) and outcome.
11. Are matching funds for the EEMP project committed and readily available?
12. Can the EEMP project be completed by June 2015?
13. For acquisitions only:
 - Identify the *SPECIFIC* parcels to be acquired.
 - Have they been appraised? If not, what is the basis for valuation?
 - Has a title report (or preliminary title report) been issued?
 - Is a purchase agreement in place with the seller?
 - Has a “Willing Seller” Letter been secured?

6. PROJECT CRITERIA QUESTIONS

Select **one** of the following Categories for your proposed EEMP project. In the Project Proposal Narrative of your Application, address all criteria in your Category, and provide quantitative explanations in support of each criteria whenever possible.

6.1 Highway Landscaping and Urban Forestry (HLUF)

Highway Landscaping and Urban Forestry projects are designed to offset vehicular emissions of carbon dioxide through the planting of trees and other suitable plants.⁵

⁵ Not all trees are equal when it comes to carbon sequestration. For help identifying “suitable” trees refer to Appendix G, Resources for Sustainable Communities, on page 36.

Projects may be within or outside the right-of-way of the RTF, however, **within the public road right-of-way, EEMP funds can only pay for trees.**

Projects in the Highway Landscaping and Urban Forestry category will be evaluated on the following:

A. Suitability (0-20 points)

1. Describe the proposed EEMP mitigation project.
2. How will it mitigate the environmental impact of the RTF?
3. What is the geographic proximity of the EEMP project to the RTF?
4. Describe the environmental condition of the EEMP project site.
5. Explain specifically how vehicular emissions of carbon dioxide created by the RTF will be mitigated by the EEMP Project.

Projects that demonstrate the following will be given priority in this category. Explain how the EEMP project -

6. Provides maximum environmental benefits over the long term.
7. Serves the greatest geographic area and/or number of people.
8. Is consistent with regional habitat management or conservation objectives.

B. Sustainability (0-20 points)

Projects where plantings, once established, will thrive without the need for supplemental irrigation will be given priority in this category: Consideration will be given for the type of habitat (urban, riparian/wetlands, restoring natives, etc.)⁶

1. Are selected trees and other plants environmentally tolerant to drought, smog, soil compaction, frost, wind, etc.?
2. Will the project utilize native plants and promote species diversity to reduce the effects of insects and diseases?
3. Will tree and other plant species selected be ecologically and physically appropriate for their function in the planting space available?
4. Will the initial size selected for the planting area have the best chance for survival and growth on the project site?
5. What are the environmental benefits of the species selected?
6. Describe provisions for plant establishment and long-term maintenance.
7. What provisions have been made for plantings that fail (e.g. a budget for establishment, removal and/or replacement)?
8. Will the project use recycled or reclaimed water?
9. Is the project in an area easily affected by external events (i.e., weather, vandals)? If so, what is planned in the project design to ensure sustainability?

⁶ For information on sustainability, refer to Appendix G, Resources for Sustainable Communities, on page 36,

IMPORTANT: If maintenance is to be performed by another entity, please include evidence of concurrence from that entity.

C. Cost Effectiveness (0-10 points)

Projects that provide the greatest number of trees and plants and yield the greatest potential for long-term carbon dioxide uptake / sequestration at the least cost will be given priority under this criterion. Consideration will be given for the type of habitat (urban, forest, riparian/wetlands, restoring natives, etc.)

1. How many trees will be planted in how much space?
2. What species of trees and plants will be used? (Include both scientific and common names)
3. What will be the size and cost for each of the trees and plants proposed? If trees larger than 15-gallon container size are used, what is the justification?
4. What type of irrigation system will be installed?
5. What is the water source and cost?
6. What will be the establishment cost per tree (including irrigation) over the first five years following planting?

Remember that reimbursement for the cost of vegetation planted in public road right-of-way is limited to trees.

D. Other Benefits and Community Participation (0-5 points)

Projects that provide other benefits (i.e., benefits of other Categories -- Roadside Recreation and Resource Lands) and/or demonstrate local and community support will be given priority under this criterion.

1. If the EEMP project is outside the right-of-way of the RTF, will the trees and other plants be planted in an area that provides reasonable public access for recreational opportunities?
2. Will the project preserve or restore natural habitat for wildlife?
3. If the project is outside of the RTF right-of-way, will the project maximize citizen involvement in project planning and implementation?
4. Is the project ADA accessible? Describe accommodations.
5. Will the project provide community stewardship opportunities for long-term maintenance?

6.2 Resource Lands (RL)

Resource Lands projects include the acquisition, restoration or enhancement of resource lands to mitigate the loss of, or the detriment to, resource lands lying within or near the right-of-way of the Related Transportation Facility.

Resource lands include natural areas, wetlands, forests, woodlands, meadows, streams or other areas containing fish or wildlife habitat. Enhancement of resource lands may include the restoration of wildlife corridors and fish passages. Additionally, resource lands may contain features of archaeological or historical value.

IMPORTANT: “Resource Lands” MUST be impacted by the RTF in order to qualify in this category.

Projects in the Resource Lands category will be evaluated on the following:

A. Resource Value of Lands Lost or Injured by the RTF (0-10 points)

1. Describe the environmental condition of the Resource Lands impacted by the RTF.
2. Where are these lands located?
3. Are they within, or near, the RTF right-of-way?
4. How are they directly impacted by the RTF?
5. What value is lost by this impact?
6. What mitigation was required by CEQA?

B. Resource Value of EEMP Project Lands (0-20 points)

1. Describe the proposed EEMP mitigation project.
2. How will it mitigate the environmental impact of the RTF?
3. Describe the environmental condition of the Resource Lands to be acquired or enhanced.
4. What is the geographic proximity of the EEMP Resource Lands to the RTF impacted Resource Lands?
5. How will this acquisition or enhancement mitigate the impact to the RTF Resource Lands?
6. Differentiate the EEMP acquisition, restoration or enhancement from the required mitigation.
7. Is this a one-time or limited opportunity acquisition?
8. Is the property of considerable size?
9. Has the Applicant secured substantial leveraging?
10. Are the lands of high statewide significance?

Acquisitions or enhancements to resource lands which impact the following will be rated the highest.

11. Will the EEMP Resource Lands protect ecosystems, watersheds, and/or other natural systems?
12. Do they contain rare, threatened, or endangered species and their habitats?
13. Are there special wildlife values such as wildlife corridors, nesting and breeding areas, wetlands, woodlands, and riparian habitat?

14. Will the EEMP project protect agricultural lands, or features of archaeological or historical value?

C. Sustainability (0-10 points)

Projects that provide the most reasonable assurance that the resource lands to be acquired or enhanced will be maintained and protected will be given priority under this criterion.

Describe your plans for ongoing stewardship.

Is the project in an area easily affected by external events (i.e., weather, vandals)? If so, what is planned in the project design to ensure sustainability?

IMPORTANT: If maintenance is to be performed by another entity, please include evidence of concurrence from that entity.

D. Cost Effectiveness (0-10 points)

Projects that provide the greatest benefit by acquiring, restoring or enhancing the most extensive or most critical resource lands will be given priority under this criterion. Consideration will be given for the type of habitat and location.

1. How many acres will be acquired, restored or enhanced?

For acquisitions:

2. What is the fair market value of the property?
3. Has an appraisal been completed?
4. If not, what is the basis for this assessment?
5. Has the seller discounted the sale price?

For restorations or enhancements:

6. Describe methodologies planned for removal of exotics and re-vegetation.
7. What is the projected plant establishment time and cost?
8. Describe the planting palette.
 - a. Are the species and size of plants appropriate to the habitat?
 - b. Are native or drought tolerant plants being used?
9. What is the water source and cost?
10. Identify the percentage of expenditures for labor and the percentage for materials.

E. Other Benefits and Community Participation (0-5 points)

Projects that provide other benefits (i.e., benefits of other Categories -- Highway Landscaping and Urban Forestry and Roadside Recreation) and/or demonstrate community support will be given priority under this criterion.

1. Will the project increase public access and recreational opportunities?
2. Will the project increase opportunities for interpretive and/or environmental education?
3. Will the project offset vehicular emissions of carbon dioxide through the planting of trees or other suitable plants?
4. Is the project ADA accessible? Describe accommodations.
5. Will there be active citizen participation in planning and/or maintenance?
6. Is the project using volunteer labor and/or donated materials?

6.3 Roadside Recreation (RR)

Roadside Recreation projects are those which provide for the acquisition and/or development of roadside recreational opportunities, including parks and greenways, roadside rests, scenic overlooks, trails and trailheads, parks and snow-parks.

Projects in the Roadside Recreation category will be evaluated on the following:

A. Value of the Recreational Opportunities (0-10 points)

1. Describe the proposed EEMP mitigation project.
2. How will it mitigate the environmental impact of the RTF?
3. Is there a deficiency of similar opportunities along that roadway?
4. Who will be served by the EEMP project?
5. What is the estimated visitor use?
6. Does the project connect to or complement other nearby recreation areas or facilities?
7. Does the project increase opportunities for interpretive and/or environmental education?
8. Are there any barriers to public access at this site?

Roadside projects with statewide significance will be given priority in this category:

9. Does the EEMP project enhance State Park Lands or other lands with high statewide significance?
10. Does the EEMP project provide compatible recreational opportunities including trails for strolling, hiking, bicycling and equestrian uses along rivers and streams.

B. Need for the EEMP Project (0-20 points)

Applications that demonstrate the greatest need for the particular roadside recreational facility will be ranked the highest.

1. Describe recreational opportunities the EEMP project will provide, such as family picnics, bicycling and hiking; areas for river access for swimming, canoeing, fishing etc.
2. What is the demonstrated need for the EEMP project?
3. What is the geographic proximity of the EEMP project to the RTF?
4. What is the value of the EEMP project to users of the RTF?
5. If conflicts exist between recreational user groups, how do you plan to resolve them?
6. What will happen to the project site if this Project does not occur?

C. Sustainability (0-10 points)

Entities that demonstrate the greatest ability to operate and maintain the proposed recreational facility will be given priority under this criterion. For example:

1. How will the project be maintained and operated?
2. How environmentally friendly are the proposed materials and construction techniques?
3. How will materials and equipment be resistant to or protected from vandalism?
4. Is the project in an area easily affected by external events (i.e., weather)? If so, what is planned in the project design to ensure sustainability?

IMPORTANT: If maintenance is to be performed by another entity, please include evidence of concurrence from that entity.

D. Cost Effectiveness (0-10 points)

1. What national, State or local construction standards will be used for recreational facilities and amenities such as trails, restrooms, bike paths, etc.?
2. If the Project includes a trail, what construction materials will be used?
3. What environmentally-friendly materials will be used? (For example, permeable surface on trails, native or drought tolerant plants).
4. What type of irrigation system will be installed, if applicable?
5. What is the water source and cost?

E. Other Benefits and Community Participation (0-5 points)

Projects that provide other benefits (i.e., benefits of other Categories -- Highway Landscaping and Urban Forestry and Resource Lands) and/or demonstrate community support will be given priority under this criterion.

1. Will the project offset vehicular emissions of carbon dioxide through the planting of trees or other suitable plants?
2. Will the project preserve or restore wildlife and natural habitat?
3. Is the project ADA accessible? Describe accommodations.
4. Will there be active citizen participation in planning and/or maintenance?
5. Will the project use volunteer labor and/or donated materials?

6.4 **Mitigation Projects Beyond the Scope of the Lead Agency (MP) NEW!**

These projects mitigate the impact of proposed transportation facilities or enhance the environment, where the ability to effectuate the mitigation or enhancement measures are beyond the scope of the lead agency responsible for assessing the environmental impact of the proposed transportation improvement.

A. Suitability (0-5 points)

1. Is this mitigation included in the CEQA documents?
2. Is it required mitigation?
 - a. If so, is the EEMP project the same as the required CEQA?
 - b. If not, how does it differ?
3. Why is it beyond the scope of the Lead Agency to effectuate?

Examples may include mitigation that is not technologically feasible, not possible within the time frame of the RTF, too expensive to implement, outside the jurisdiction of the lead agency, etc.

B. Elements of Mitigation (0-20 points)

1. Describe the proposed EEMP mitigation project.
2. Which resources are impacted by the RTF? (Select those that apply from “a through g” below.)
3. Describe how the EEMP project mitigates the environmental impacts noted above? (Questions provided for each resource are examples only.)
 - a. **Biological Resources** - How will the project control weeds or invasive plants? Restore native habitat? Increase species diversity?
 - b. **Resource Lands** - How will the project connect to, or augment an existing wild area? Mitigate disturbances to plant communities or sensitive habitats? Will the project protect, or preserve resource lands?
 - c. **Geology/Soils/ Mineral Resources** - How will the project minimize erosion and sediment transport? Help to stabilize soil? Reduce the risk of slope movement?
 - d. **Water Quality/Supply/Stormwater Management** - How will the project reduce non-point pollution? Recharge groundwater supplies? Neutralize the effect of herbicides?

- e. **Transportation/Air Quality/ Greenhouse Gas Emissions** - How will the project reduce vehicle miles traveled (VMT's) by providing alternative transportation routes to school, business or work?
- f. **Recreation/Scenic Vistas/Cultural Resources** – How will the project extend or link existing bicycle or pedestrian paths for recreational purposes? Create or restore opportunities for scenic or wildlife viewing? Improve access to historic or heritage sites?
- g. **Agriculture & Forestry Lands** – How will the project protect or preserve open space, farmland, or forest resources?

Projects that demonstrate the following will be given priority in this category. Explain how the EEMP project -

- 9. Provides maximum environmental benefits over the long term.
- 10. Serves the greatest geographic area and/or number of people.
- 11. Is consistent with regional habitat management or conservation objectives.

C. Sustainability (0-15 points)

Projects that provide the most reasonable assurance that the project will be maintained and/or protected will be ranked the highest under this criterion.

- 1. Describe your plans for operating and maintaining the project, and indicate your source of funds for ongoing management.
- 2. Is the project in an area easily affected by external events (i.e., weather, vandalism)? If so, what is planned in the project design to ensure sustainability?
- 3. If your project involves plantings, once established, will they thrive without the need for supplemental irrigation? Please describe. (Consideration will be given for the type of habitat.)
- 4. Describe your plans for ongoing stewardship of acquired lands.

IMPORTANT: If maintenance is to be performed by another entity, please include evidence of concurrence from that entity.

D. Cost Effectiveness (0-10 points)

- 5. What national, State or local construction standards will be used for recreational facilities and amenities such as trails, restrooms, bike paths, etc.?
- 6. What environmentally-friendly materials will be used?
- 7. If the Project includes a trail, what construction materials will be used?
- 8. What type of irrigation system will be installed, if applicable? What is the water source and cost?
- 9. Describe the planting palette. Are the species and size of plants appropriate to the habitat? Are native or drought tolerant plants being used?
- 10. If applicable, what is the projected plant establishment time and cost?
- 11. Identify the percentage of expenditures for labor vs the percentage for materials.

12. For acquisitions:
 - a. What is the fair market value of the property?
 - b. Has an appraisal been completed?
 - c. If not, what is the basis for this assessment?
 - d. Has the seller discounted the sale price?

D. Other Benefits and Community Participation (0-5 points)

Projects that provide other benefits (i.e., benefits of other Categories -- Roadside Recreation, Highway Landscaping and Urban Forestry or Resource Lands) and/or demonstrate local and community support will be given priority under this criterion.

6. Will the project provide any public access for recreational opportunities?
7. Will the project preserve or restore natural habitat for wildlife?
8. Will the project offset vehicular emissions of carbon dioxide through the planting of trees or other suitable plants?
9. Will the project maximize citizen involvement in planning and implementation?
10. Is the project ADA accessible? Describe accommodations.
11. Will the project provide community stewardship opportunities for long-term maintenance?

7. WHAT TO SUBMIT: REQUIREMENTS FOR A COMPLETE APPLICATION

The Grant Application is composed of four (4) sections:

- Application Form & Assurances (See Appendix B)
- One Page Summary of EEMP project and relation to RTF
- Project Proposal Narrative (Answers to questions in Sections 5 and 6)
- Exhibits & Supporting Documents (See Appendix A)

NEW! All of the above must be submitted in both hardcopy and on CD.

The following items, as applicable, make up the EEMP Application Package. Please assemble your Application Package in the order listed below and number each page sequentially.

Submit a total of five copies of all materials (original plus four copies) and ONE CD containing digital copies of all documents. No binders please.

7.1 Signed Application Form and Assurances (Appendix B)

7.2 Project Summary

A one page description of the EEMP project scope, location, purpose, relationship to the RTF and amount of request.

7.3 Project Proposal Narrative

- A. **General Criteria** – Answer questions in Section 5 in narrative form and provide quantitative explanations for each whenever possible.
- B. **Project Category Criteria** - For the Category of project being proposed, answer questions in Section 6 in narrative form and provide quantitative explanations for each whenever possible.

7.4 Exhibits & Supporting Documents

- A. Agency Eligibility
 - 1. **Resolution** authorizing applicant to apply for grant, required for local agencies and nonprofit organizations. (Appendix E)
 - 2. **IRS determination letter** of Section 501(c)(3) non-profit status, if applicable
- B. Related Transportation Facility
 - 1. **Letter from the Lead Agency** Responsible for the Related Transportation Facility (Appendix C)
 - 2. **CEQA Documents** for the Related Transportation Facility (NOE, NOD, Neg Dec, Mitigated Neg Dec or EIR summary) establishing required mitigation
- C. **Statement of EEMP project consistency** with local, State, and/or federal plans, and list of permits and approvals needed and applications filed with appropriate agencies.
- D. **Cost Estimate** for EEMP Project: Line item detail including all elements to be funded by the EEMP grant.
 - Appendix D-1 for Development Projects
 - Appendix D-2 for Acquisitions
 - Show other sources of funds in separate columns and specify each source
 - Show volunteer or in-kind services and donated items in separate columns.
- E. **Timeline** for EEMP Project: Include completion schedule and anticipated submittal date of first invoice for reimbursement.
- F. **Location map** showing EEMP project and RTF
- G. **Photos** of EEMP project site.
- H. **Site Plans:** EEMP Project designs or concept drawings.
 - For all projects involving plantings, a description of the number of plantings, species, size, density, and locations.

- **For HLUF projects**, a letter from a certified arborist, registered professional forester, or registered landscape architect, certifying the following for projects involving tree planting:
 1. carbon dioxide uptake and carbon sequestration capability⁷
 2. appropriateness of species for location
 3. optimal initial tree size for survival
 4. proper planting and maintenance ensured
 5. compliance with local ordinances
 6. compliance with specified nursery stock standards.

- I. **Letters from or Agreements with other Agencies** with jurisdiction over property or project, giving permission to implement project, such as
 - Flood Control Districts
 - Property owners (if other than applicant)
 - Entities responsible for Operations & Maintenance (if other than applicant)
 - Owners of easements (utilities, Caltrans, railroad, etc.) on property to be developed
 - Other

- J. **Letters of Endorsement** and/or support from community groups mentioned in the Application (if applicable).

- K. **Acquisitions Only** – Submit the following in addition to the above:
 - Acquisition schedule
 - Parcel maps (with parcel numbers and boundaries clearly identified)
 - **Willing Seller Letter** from each landowner, stating the seller is willing to enter into negotiations for sale of the property at a purchase price **not to exceed** Fair Market Value.
 - Purchase Agreement (if available)
 - Appraisal (if available)
 - Stewardship Plan (if available)

8. COSTS AND PAYMENT REQUIREMENTS

As part of the Application Package, the EEMP Project Cost Estimate (Appendix D-1 or D-2) should show all EEMP project expenses line item by line item. If in-kind or volunteer services or donated items will be used show them in another column. Show other sources of funds in separate columns and specify each source. **Do not include any overhead costs.**

⁷ For suitable trees see the U.S. Forest Service's Tree Carbon Calculator at the Center for Urban Forest Research <http://www.fs.fed.us/ccrc/topics/urban-forests/> or Standards for Purchasing Container-Grown Landscape Trees - California Dept of Forestry and Fire Protection <http://www.ufei.org/Standards&Specs.html>

8-1. Eligible EEMP Project Costs

- A. **Payments will be made on a reimbursement basis.** That is,
 - 1. The grantee pays for services, products or supplies.
 - 2. Grantee submits invoices and proof of payment to the State.
 - 3. The Grantee is then reimbursed by the State.
 - 4. All costs submitted for reimbursement must be supported by appropriate invoices, purchase orders, canceled warrants, and other documentation.
- B. Only project-related costs incurred **during the project performance period** specified in the Applicant – State Agreement will be eligible for reimbursement.

Exception: Advances to escrow will be made after the appraised fair market value is approved by Caltrans.

- C. **Expenditures will be reimbursed at the ratio of EEMP funds to Other Sources of Funding** designated in the Application Cost Estimate and in the Applicant – State Agreement.

Important: If the Application states the EEMP grant will fund a percentage of the Project, this percentage will be used to calculate all reimbursements to the grantee. Therefore it is important to realistically assess the scope of the project and the reliability of other funding sources before including them in the project Cost Estimate.

- D. **Only direct costs are eligible.** General administrative costs, general overhead costs (i.e., costs calculated as a percentage of other direct costs, such as telephone, fax, and space rental, etc.) and endowments for ongoing project maintenance are not eligible for reimbursement.
- E. The Committee may recommend projects to the CTC with unallocated reductions in grant funding or with specific line item reductions. In such cases, the Applicant may elect to use non-grant sources of funding if it is deemed necessary to complete the project as planned.

8-2. Specific EEMP Project Costs

- A. Preliminary Project Costs

Preliminary project costs (e.g. construction plans, appraisals, acquisition negotiations, etc.) are eligible for reimbursement.

However, costs incurred prior to both the allocation vote by the California Transportation Commission, and execution of the Applicant-State Agreement, will not be reimbursed.

B. Personnel and Employee Services

Services of the Applicant's employees directly engaged in project execution are eligible costs. These costs must be computed according to the Applicant's prevailing wage or salary scales and may include fringe benefit costs such as vacations, sick leave, social security contributions, etc. that are customarily charged to the Applicant's projects. Costs charged to the project must be computed on actual time spent on the project and be supported by time and attendance records describing the work performed on the project. Overtime costs may be allowed under the Applicant's established policy, provided that the regular work time was devoted to the same project.

Salaries and wages claimed for employees working on State grant funded projects must not exceed the Applicant's established rates for similar positions.

C. Consultant Services

The costs of consultant services necessary for the project are eligible. Consultants must be paid by the customary or established method and rate of the Applicant. No consultant fee may be paid to the Applicant's own employees without prior approval or unless specifically agreed to by the State.

D. Construction Equipment

The following conditions apply to the allocation of costs for construction equipment:

1. Equipment owned by the Applicant may be charged to the project for each use. Equipment use charges must be made in accordance with the Applicant's normal accounting practices. The equipment rental rates published by the State Department of Transportation may be used as a guide. (refer to <http://www.dot.ca.gov/hq/construc/equipmnt.html>)
2. If the Applicant's equipment is used, a report or source document must describe the work performed, indicate the hours used, and relate the use to the project. This document must be signed by the operator and supervisor.
3. Equipment may be leased, rented, or purchased, whichever is most economical. If equipment is purchased, its residual market value must be credited to the project costs upon completion.

E. Construction Costs

The cost of all necessary construction activities from site preparation (including excavation, grading, etc.) to the completion of a structure or facility is eligible. Also eligible are contract costs for tree planting and irrigation systems.

F. Trees, Supplies, and Materials

Trees, supplies, and materials, including irrigation equipment may be purchased for a specific project or may be drawn from a central stock, provided that they are claimed at a cost no higher than that paid by the Applicant. **However, reimbursement for the cost of vegetation planted within public road right-of-way is limited to trees.**

G. Acquisition Costs

The costs of acquiring real property are eligible and may include the purchase price of the property, appraisals, surveys, preliminary title reports, escrow fees, and title insurance fees. Applicants should justify the cost effectiveness of a proposed acquisition, including the cost/benefit acquiring easements versus fee title when appropriate.

Important: Applicants who propose to purchase property must accept, sign, notarize, and record an “Agreement Declaring Restrictive Covenant” (ADRC). Without an ADRC, Caltrans will not reimburse Applicants for their acquisition costs. Further, lack of an ADRC puts project funds at risk and could adversely affect future requests for EEMP funds.

Applicants who propose to acquire a Conservation Easement must accept, sign and notarize a “Restrictive Covenant Agreement Declaring Conservation Easement” (RCACE) or add the condemnation language in their Conservation Easement.

These documents are posted on the EEMP website under “Policy and Procedures” Chapter 20. http://www.dot.ca.gov/hq/LocalPrograms/lam/prog_g/g20eem.pdf

H. Other Expenditures

In addition to the major categories of expenditures, reimbursements may be made for miscellaneous costs necessary for execution of the project. Some of these costs are:

- Premiums on hazard and liability insurance to cover personnel and/or property
- Work performed by another section or department of the Applicant's agency.
- Transportation costs for moving equipment and/or personnel.

APPENDIX A

Checklist for What to Submit

The following items, as applicable, make up the EEMP Application Package. Please assemble your Application Package in the order listed below and number each page sequentially.

Submit a total of five copies of all materials (original plus four copies) and ONE CD containing digital copies of all documents. NO BINDERS PLEASE.

1. **Signed Application Form and Assurances** (Appendix B)
2. **One Page Project Summary**
3. **Project Proposal Narrative: General Criteria and Project Criteria Questions**
4. **Exhibits & Supporting Documents**
 - a. Authorizing resolution to apply for grant (Appendix E)
 - b. IRS determination letter of Section 501(c)(3) non-profit status, if applicable
 - c. Letter from the Lead Agency for the RTF (Appendix C)
 - d. CEQA Documents for the RTF (NOE, NOD, Neg Dec, Mit. Neg Dec or EIR **summary**)
 - e. Statement of EEMP project consistency with local, State/federal plans, and list of permits and approvals
 - f. EEMP Project Cost Estimate (Appendix D)
 - g. EEMP Project Timeline
 - h. Project location map
 - i. Project site photos
 - j. Site Plans: Project designs or concept drawings
 - For all projects involving plantings, a description of the number of plantings, species, size, density, and locations
 - For HLUF projects: Letter from a certified arborist, registered professional forester, or registered landscape architect re planting
 - k. Letters of permission / Agreements with other Agencies (property owners, O&M, Flood Control Districts, etc.)
 - l. Letters of endorsement
 - m. For Acquisitions – Acquisition schedule, parcel maps with APN identified and letter from Willing Seller (appraisal, purchase agreement or stewardship plan if available.)

APPENDIX B APPLICATION FORM

Enter EEMP Project Information under Section A

A.1 EEMP PROJECT NAME _____

A.2 EEMP GRANT APPLICANT

Agency Name _____
Street Address (& PO Box) _____
City _____ State _____ ZIP _____

A.3 TYPE of AGENCY (check one) ☐ Local Agency ☐ State Agency ☐ Federal Agency ☐ Non-profit

A.4 EEMP PROJECT CATEGORY (check only one)
☐ Highway Landscaping and Urban Forestry ☐ Roadside Recreation
☐ Mitigation Projects Beyond the Scope of the Lead Agency ☐ Resource Lands

A.5 EEMP PROJECT GRANT REQUEST

EEMP Project Grant Request \$ _____
Estimated Total EEMP Project Cost \$ _____ (Include all sources of funds but not cost of the RTF.)

A.6 EEMP PROJECT LOCATION

Nearest Cross Street _____
County _____
Nearest City _____
Latitude and Longitude _____
Senate District No. _____
Assembly District No. _____

Project Location: Refer to 1-5. North/South Split on page 2. (check only one) ☐ North ☐ South

A.7 APPLICANT'S REPRESENTATIVE AUTHORIZED IN RESOLUTION

Name	Title	Phone
Email address		

Person with day-to-day responsibility for grant project (if different than authorized representative)

Name	Title	Phone
Email address		

A.8 ANTICIPATED EEMP PROJECT START DATE: _____ **COMPLETION DATE:** _____

A.9 BRIEF DESCRIPTION OF EEMP PROJECT Summarize scope, purpose, location & connection to RTF (60 words)

Enter Related Transportation Facility under Section B

B.1 RELATED TRANSPORTATION FACILITY (RTF)

Transportation District	City	County	Route Number / Name
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Location

Description of Related Transportation Facility

Name of Transportation Agency

Date Construction Began or Scheduled

Name of Approved/Certified Capital Outlay Program for Related Transportation Facility

B.2 ENVIRONMENTAL CLEARANCE FOR RTF PROJECT (check type and status)

Type:	Exempt__	Negative Declaration__	Categorical Exemption__	EIR __
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Status:	Complete__	In Progress__	Not Started__
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What were the primary environmental Impacts of the RTF? (Brief)

Describe the *required* environmental mitigation? (Brief)

B.3 Name of Lead Agency for RTF: _____

B.4 Attach the Letter from the Lead Agency Responsible for the construction of the RTF. (APPENDIX C)

B.5 Attach a copy of the NOE, NOD, Neg Dec, Mitigated Neg Dec, or EIR summary, as applicable, to provide evidence of the required mitigation for the RTF.

C. CERTIFICATION

I certify that the information contained in this project Application form, including required attachments, is accurate and that I have read and understand the Assurances which are a part of this Application.

Signed _____ Date _____
(Grant Applicant's Authorized Representative, as shown on the Resolution)

DEADLINE: APPLICATION MUST BE RECEIVED BY Monday, September 12, 2011

D. ASSURANCES

Applicant possesses legal authority to apply for the grant and to finance, acquire, and construct the proposed project; and by formal action (i.e., a resolution) the Applicant's governing body authorized the filing of the Application, including all understandings and assurances contained therein, and authorized the person identified as the official representative of the Applicant to act in connection with the Application and to provide such additional information as may be required.

Applicant will manage and maintain into the future any property acquired, developed, rehabilitated, or restored with grant funds provided through this program. For property acquisition, the applicant will accept, sign, notarize, and record an Agreement Declaring Restrictive Covenant (ADRC) and for a Conservation Easement (CE), a Restrictive Covenant Agreement Conservation Easement (RCACE) or add the condemnation language in the CE. These documents are developed by the California Department of Transportation and can be found on the EEMP Website under "Policy and Procedures" Chapter 20. With the granting agency's prior approval, the Applicant or its successors in interest may transfer the management and maintenance responsibilities in the property. If the property is not managed and maintained for the purposes stated in the Agreement, the state shall be reimbursed an amount at least equal to the amount of the grant award or, for real property, the pro rata fair market value of the property, including improvements, at the time of sale, whichever is higher.

Applicant will give the State's authorized representative access to and the right to examine all records, books, papers, or documents related to the grant.

Applicant will cause work on the project to be commenced within a reasonable time after receipt of notification from the State that funds have been approved and that the project will be carried to completion with reasonable diligence. If Applicant cannot submit its first invoice for reimbursement to Caltrans by one year from the date of the execution of the Applicant-State agreement, Applicant will submit a statement of project progress appropriate to the project that provides real assurances that the project will be completed prior to **June 2015**, including but not limited to: project advertisement or firm advertisement schedule, entry into escrow for acquisitions, date project plans will be completed, anticipated date of receipt of other needed funds from specified entity, etc.

Applicant will comply where applicable with provisions of the California Environmental Quality Act and the California Relocation Assistance Act and any other state, and/or local laws, rules and/or regulations and certifies the project is consistent with all applicable local, State and/or federal plans.

Applicant Name: _____

Project Name: _____

Signed _____ **Date** _____
(Grant Applicant's Authorized Representative)

APPENDIX C

LETTER FROM THE LEAD AGENCY RESPONSIBLE FOR CONSTRUCTION OF THE RELATED TRANSPORTATION FACILITY (RTF)

This letter plus CEQA summary documents for the RTF are required for each EEMP Application.

Instructions to the Lead Agency responsible for construction of the Related Transportation Facility (RTF):

The Environmental Enhancement and Mitigation Program (EEMP) awards up to \$10 million each fiscal year for grants to mitigate the environmental impacts of modified or new public transportation facilities. Please provide a letter describing construction of a new Transportation Facility or modification / enhancement of an existing Transportation Facility.

Return this letter to the Applicant prior to the application due date of September 12, 2011 for inclusion in their application package.

Provide the following information about the Related Transportation Facility (RTF):

1. Describe the RTF construction or modification.
2. What is the location of the RTF?
3. When did the RTF construction or modification begin? When was it completed?
4. What type of California Environmental Quality Act (CEQA) clearance was required?
 - Notice of Exemption (NOE)
 - Notice of Determination (NOD)
 - Negative Declaration (Neg Dec)
 - Mitigated Negative Declaration (Mitigated Neg Dec)
 - Environmental Impact Report (EIR)
5. When was CEQA completed?
6. Was mitigation required? If so, please describe the required mitigation.
7. Have the environmental mitigation measures been started, or completed?
8. If the RTF is planned, what is the projected construction start date? What is the funding source for the RTF?

IMPORTANT: Attach a copy of the RTF Notice of Determination, Notice of Exemption, Negative Declaration, Mitigated Negative Declaration, or Environmental Impact Report **summary**, as applicable, to this letter.

Provide the following information about the proposed EEMP Project:

9. Name of the EEMP Project
10. Describe the relationship between the EEMP project and the required environmental mitigation for the RTF?
11. If Applicant is applying under **Mitigation Projects Beyond the Scope of the Lead Agency (MP)** Category, please provide a statement of concurrence explaining how the ability to effectuate the mitigation or enhancement measures are beyond the scope of the lead agency responsible for assessing the environmental impact of the proposed transportation improvement.
12. Is the proposed EEMP project compatible with the RTF? If not, does it interfere with the operation or safety? (If incompatible, please explain.)
13. Does the proposed EEMP project limit or interfere with planned or anticipated future improvements to the RTF? (If it interferes, please explain.)
14. Describe any concerns about the proposed EEMP project (e.g., design, safety, tree density, other.)
15. Was another EEMP project previously undertaken to mitigate the impact of this RTF? (If yes, please explain.)

Please include: Signature of Transportation Agency Representative, Title,
Name of Transportation Agency
Contact information (address, phone, email)

APPENDIX D-1 COST ESTIMATE FOR DEVELOPMENT PROJECTS

Project Elements (SAMPLE ONLY)	Unit Price	Units*	Quant.	Total Project Costs	EEMP Grant	Applicant Match	Funding Source (specify)	Funding Source (specify)	In Kind Donations
PRE-CONSTRUCTION (not to exceed 25% of grant)									
Direct Project Management & Administration									
Staff Time									
Incidental Charges									
Consultants									
Subtotal									
Planning, Design & Permitting									
Staff Time									
Consultants									
Permit Costs									
Subtotal									
CEQA Compliance									
Staff Time									
Consultants									
Subtotal									
Subtotal Pre-construction Costs (25% of grant)									
CONSTRUCTION									
Implementation - Contracted									
Element 1 - Installed cost (labor & materials)									
Element 2 - Installed cost (labor & materials)									
Element 3 - Installed cost (labor & materials)									
Implementation - Applicant									
Labor									
Materials									
Equipment									
Amenities									
Subtotal Construction Costs									
Contingency (not to exceed 10% of grant)									
GRAND TOTAL:									

- May use lump sum estimates where applicable

APPENDIX D-2 COST ESTIMATE FOR LAND ACQUISITIONS

Project Title:					
Assessor's Parcel Number(s):	Acreage	Fee Title or Easement	Willing Seller Name and Address		
ACQUISITION COST ESTIMATE					
	Total Costs	EEMP Grant	Applicant Match	Other Sources of Funds (specify by name)	
Estimated Fair Market Value of property					
Relocation Costs					
Preliminary Title Reports, Appraisal					
Escrow Fees, Title Insurance, Closing Costs					
Surveying (limited to boundary line adjustment)					
Direct costs (staff and consultants) – limited to \$10,000 per grant					
Contingency (Not to exceed 10% of total grant)					
Other (Specify)					
Grand Total					

Acquisition Schedule

Timeframe

Complete Appraisal	
Submit appraisal and title report for State review	
Submit instruments of conveyance, etc.	
Close of escrow (submit all final closing documents specified in the grant agreement)	
Close-out	

APPENDIX E

SAMPLE RESOLUTION TEMPLATE

Resolution No:
RESOLUTION OF THE

(GOVERNING BODY)

OF _____ APPROVING (NONPROFIT ORGANIZATION/SPECIAL PURPOSE LOCAL AGENCY)

THE APPLICATION FOR GRANT FUNDS FOR THE ENVIRONMENTAL ENHANCEMENT AND MITIGATION PROGRAM UNDER THE SECTION 164.56 OF THE STREETS AND HIGHWAYS CODE FOR THE FOLLOWING PROJECT: _____ (PROJECT NAME)

WHEREAS, the Legislature of the State of California has enacted AB 471 (Chapter 106 of the Statutes of 1989), which is intended to provide \$10 million annually for a period of 10 years for grant funds to local, state and federal agencies and nonprofit entities for projects to enhance and mitigate the environmental impacts of modified or new public transportation facilities; and

WHEREAS, the Natural Resources Agency has established the procedures and criteria for reviewing grant proposals and is required to submit to the California Transportation Commission a list of recommended projects from which the grant recipients will be selected; and

WHEREAS, said procedures and criteria established by the Natural Resources Agency require a resolution certifying the approval of application by the Applicant's governing body before submission of said application to the State; and

WHEREAS, the application contains assurances that the Applicant must comply with; and

WHEREAS, the Applicant, if selected, will enter into an agreement with the State of California to carry out the environmental enhancement and mitigation project;

NOW, THEREFORE, BE IT RESOLVED THAT THE

(GOVERNING BODY)

1. Approves the filing of an application for the Environmental Enhancement and Mitigation Program for grant assistance.
2. Certifies that said Applicant will make adequate provisions for operation and maintenance of the project.
3. Appoints _____ (NAME AND TITLE) as agent of the _____ (NONPROFIT ORGANIZATION/SPECIAL PURPOSE LOCAL AGENCY) to conduct all negotiations, execute and submit all documents, including, but not limited to applications, agreements, amendments, payment requests and so on, which may be necessary for the completion of the aforementioned project.

Approved and Adopted the _____ day of _____, 2_____.

I, the undersigned, hereby certify that the foregoing Resolution Number _____ was duly adopted by the

(GOVERNING BODY)

following roll call vote:

Ayes:

Noes:

Absent:

(CLERK/SECRETARY FOR THE GOVERNING BODY)

APPENDIX F

EEMP AUTHORIZING LEGISLATION

California Streets and Highways Code Section 164.56

- (a) It is the intent of the Legislature to allocate ten million dollars (\$10,000,000) annually to the Environmental Enhancement and Mitigation Program Fund, which is hereby created.
- (b) Local, state, and federal agencies and nonprofit entities may apply for and may receive grants, not to exceed five million dollars (\$5,000,000) for any single grant, to undertake environmental enhancement and mitigation projects that are directly or indirectly related to the environmental impact of modifying existing transportation facilities or for the design, construction, or expansion of new transportation facilities.
- (c) Projects eligible for funding include, but are not limited to, all of the following:
 - (1) Highway landscaping and urban forestry projects designed to offset vehicular emissions of carbon dioxide.
 - (2) Acquisition or enhancement of resource lands to mitigate the loss of, or the detriment to, resource lands lying within the right-of-way acquired for proposed transportation improvements.
 - (3) Roadside recreational opportunities, including roadside rests, trails, trailheads, and parks.
 - (4) Projects to mitigate the impact of proposed transportation facilities or to enhance the environment, where the ability to effectuate the mitigation or enhancement measures is beyond the scope of the lead agency responsible for assessing the environmental impact of the proposed transportation improvement.
- (d) Grant proposals shall be submitted to the Resources Agency for evaluation in accordance with procedures and criteria prescribed by the Resources Agency. The Resources Agency shall evaluate proposals submitted to it and prepare a list of proposals recommended for funding. The list may be revised at any time. Prior to including a proposal on the list, the Resources Agency shall make a finding that the proposal is eligible for funding pursuant to subdivision (f).
- (e) Within the fiscal limitations of subdivisions (a) and (b), the commission shall annually award grants to fund proposals that are included on the list prepared by the Resources Agency pursuant to subdivision (d).
- (f) Projects funded pursuant to this section shall be projects that contribute to mitigation of the environmental effects of transportation facilities, as provided for by Section 1 of Article XIX of the California Constitution.
- (g) Notwithstanding Section 7550.5 of the Government Code, on or before December 31 of each year, the commission shall provide the Assembly Committee on Budget and the Senate Committee on Budget and Fiscal Review with a list of projects funded from the Environmental Enhancement and Mitigation Program during the previous fiscal year and a copy of the most recent criteria for allocating grants pursuant to this section.

<http://law.onecle.com/california/streets/164.56.html>

**CALTRANS DIVISION OF
LOCAL ASSISTANCE**



APPENDIX G

RESOURCES FOR SUSTAINABLE COMMUNITIES

California Invasive Plant Council's Invasive Plant Inventory Database

<http://www.cal-ipc.org/ip/inventory/weedlist.php>

Climate Adaptation Strategy

<http://www.climatechange.ca.gov/adaptation/index.html> and <http://gov.ca.gov/index.php?executive-order/1861/>

SelecTree

<http://selecttree.calpoly.edu/>

CALFIRE tree stock and care requirements

<http://www.ufe.org/Standards&Specs.html>

California Water Plan

<http://www.waterplan.water.ca.gov/cwpu2009/index.cfm>

Governor's Water Conservation Targets from a letter dated February 28, 2008

http://www.swrcb.ca.gov/water_issues/hot_topics/20x2020/docs/govltr_to_legislature022808.pdf

California Native Plant Society

<http://www.cnps.org/cnps/grownative/lists.php>

California State Parks' Community Fact Finder (Beta Version)

<http://www.parkinfo.org/factfinder2011/grantee.html>

Catalyst Project

http://www.hcd.ca.gov/hpd/catalyst_summaries082510.pdf

U.S. Forest Service's Tree Carbon Calculator at the Center for Urban Forest Research.

<http://www.fs.fed.us/ccrc/topics/urban-forests/>

Standards for Purchasing Container-Grown Landscape Trees - California Dept of Forestry and Fire Protection

<http://www.ufe.org/Standards&Specs.html>

California Global Warming Solutions Act of 2006

<http://www.arb.ca.gov/cc/ab32/ab32.htm>

Health in All Policies Task Force Report


http://sgc.ca.gov/hiap/docs/publications/HiAP_Task_Force_Report.pdf

California Regional Progress Report

http://dot.ca.gov/hq/tpp/offices/orip/Collaborative%20Planning/California_Regional_Progress_Report.html

California Environmental Quality Act (CEQA)

<http://www.leginfo.ca.gov/cgi-bin/displaycode?section=prc&group=20001-21000&file=21000-21006>

APPENDIX H	Headquarters 1120 N Street Sacramento 916-654-5266	P.O. Box 942873 Sacramento, CA 94273-0001
Caltrans District Offices	District 1 1656 Union Street Eureka 707-445-6410	P.O. Box 3700 Eureka, CA 95502
	District 2 1657 Riverside Drive Redding 530-225-5487	P.O. Box 496073 Redding, CA 96049-6073
	District 3 703 "B" Street Marysville 530-741-5122	P.O. Box 911 Marysville, CA 95901
	District 4 111 Grand Avenue Oakland 510-622-5911	111 Grand Ave P.O. Box 23660 Oakland, CA 94623-0660
	District 5 50 Higuera Street San Luis Obispo 805-542-4606	50 Higuera Street San Luis Obispo, CA 93401-5415
	District 6 855 M Street, Ste 200 Fresno 559-445-5834	P. O. Box 12616 Fresno, CA 93778-2616
	District 7 100 S. Main Street Los Angeles 213-897-2934	100 S. Main Street Los Angeles, CA 90012
	District 8 464 W. 4th St. San Bernardino 909-383-6414	464 W. 4th St. San Bernardino, CA 92402
	District 9 500 South Main Street Bishop 760-872-0681	500 South Main Street Bishop, CA 93514
	District 10 1976 East Charter Way Stockton 209-948-7916	P. O. Box 2048 Stockton, CA 95201
	District 11 4050 Taylor Street San Diego 619-278-3734	4050 Taylor Street San Diego, CA 92110
	District 12 3347 Michelson Dr., Ste 100 Irvine 949-756-4953	3347 Michelson Dr., Ste 100 Irvine, CA 92612-0611